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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.
36194/42366

In Re Application Of:
Tully et al.

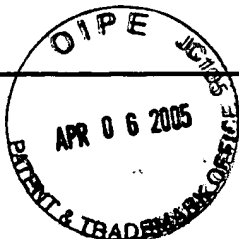
Serial No.
10/692,067

Filing Date
October 22, 2003

Examiner
To be determined

Group Art Unit
3628

Title:
System And Method For The Automated Brokerage Of Financial Instruments



Address to:
Assistant Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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Docket No.
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In Re Application:

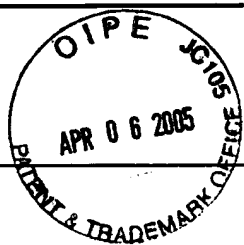
Tully et al.

Serial No.
10/692,067

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Examiner
To be determined

Group Art Unit
3628



Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Art Unit	3628
Examiner Name	To Be Determined
Attorney Docket Number	36194 / 42366

Sheet 1 of 5

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4486853	12/4/1984	Parsons	
		US- 4674044	6/16/1987	Kalmus et al.	
		US- 4694397	9/15/1987	Grant et al.	
		US- 4774663	9/27/1988	Musmanno et al.	
		US- 4903201	2/20/1990	Wagner	
		US- 5038284	8/6/1991	Kramer	
		US- 5262942	11/16/1993	Earle	
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		US- 5297032	3/22/1994	Trojan et al.	
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		US- 5890140	3/30/1999	Clark et al.	
		US- 5915209	6/22/1999	Lawrence	
		US- 5950176	9/7/1999	Keiser et al.	
		US- 5963923	10/5/1999	Garber	
		US- 6014627	1/11/2000	Togher et al.	
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		US- 6134535	10/17/2000	Belzberg	
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		US- 6772132	8/3/2004	Kemp, II et al.	
		US- 20020019799	2/14/2002	Ginsberg et al.	

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				Application Number	10/692,067
				Filing Date	October 22, 2003
				First Named Inventor	Tully et al.
				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	2	of	5	Attorney Docket Number	36194 / 42366

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	US-	20030149653	8/7/2003	Penney et al.	
	US-	20030154152	8/14/2003	Gilbert et al.	
	US-	20030163405	8/28/2003	Wiener et al.	
	US-	20030167223	9/4/2003	Pledereder et al.	
	US-	20030200167	10/23/2003	Kemp, II et al.	
	US-	20030220865	11/27/2003	Lutnick	

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				Art Unit	3628
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	US-	20050060255	3/17/2005	Heaton	
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				Art Unit	3628
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Sheet	4	of	5	Attorney Docket Number	36194 / 42366

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
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Sheet	5	of	5		

[illegible]

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